

## Appendix A: Self-assessment form

This self-assessment form should be completed by the complaints officer and it must be reviewed and approved by the landlord's governing body at least annually.

Once approved, landlords must publish the self-assessment as part of the annual complaints performance and service improvement report on their website. The governing body's response to the report must be published alongside this.

Landlords are required to complete the self-assessment in full and support all statements with evidence, with additional commentary as necessary.

We recognise that there may be a small number of circumstances where landlords are unable to meet the requirements, for example, if they do not have a website. In these circumstances, we expect landlords to deliver the intentions of the Code in an alternative way, for example by publishing information in a public area so that it is easily accessible.

## Section 1: Definition of a complaint

| Code provision | Code requirement   | Comply: Yes / No | Evidence   | Commentary / explanation  |
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| 1.2            | A complaint must be defined as:<br><i>'an expression of dissatisfaction, however made, about the standard of service, actions or lack of action by the landlord, its own staff, or those acting on its behalf, affecting a resident or group of residents.'</i>  | Yes              | As shown and stated on Comments & Complaints Procedure   | Staffs are trained to learn and understand the definition.  |
| 1.3            | A resident does not have to use the word 'complaint' for it to be treated as such. Whenever a resident expresses dissatisfaction landlords must give them the choice to make complaint. A complaint that is submitted via a third party or representative must be handled in line with the landlord's complaints policy. | Yes              | Staffs are trained on how to recognise a complaint   | For example: to recognise key words: 'I cannot accept this'. 'I want to speak to a manager/supervisor/team leader'  |
| 1.4            | Landlords must recognise the difference between a service request and a complaint. This must be set out in their complaints policy. A service request is a request from a resident to the landlord requiring action to be taken to put something right. Service requests are not complaints, but must                    | Yes              | Staffs are trained on how to recognise the difference between a service request and a complaint. | Example: 59 Cotswold Garden case: Tenant reported mice issue—that's a service request.<br>11 Second Avenue Case: Tenant raised complaint that mice treatment is not |

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|     | be recorded, monitored and reviewed regularly.   |     |   | effective and escalated to council office.  |
| 1.5 | A complaint must be raised when the resident expresses dissatisfaction with the response to their service request, even if the handling of the service request remains ongoing. Landlords must not stop their efforts to address the service request if the resident complains.  | Yes | Staffs log each complaint on internal system when received, meanwhile provide details on complaint procedure, next steps and timeline.                            | Internal information can be provided on request   |
| 1.6 | An expression of dissatisfaction with services made through a survey is not defined as a complaint, though wherever possible, the person completing the survey should be made aware of how they can pursue a complaint if they wish to. Where landlords ask for wider feedback about their services, they also must provide details of how residents can complain. | Yes | Staffs understand survey is a method to help company to monitor and improve service provided. There is information about how to raise a complaint on survey form. | Example: Contractor post work satisfaction feed- back form. This is often used to monitor quality control and time keeping on external contractors. |

## Section 2: Exclusions

| Code provision | Code requirement  | Comply: Yes / No | Evidence  | Commentary / explanation  |
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| 2.1            | Landlords must accept a complaint unless there is a valid reason not to do so. If landlords decide not to accept a complaint they must be able to evidence their reasoning. Each complaint must be considered on its own merits   | Yes              | All complaints received are acknowledged with email/ letter regardless accepted or not accepted cases.                    | Acceptable cases: next step of action and time line provided to client once accepted. For non-accepted cases, clients are provided reason for non-acceptance and their right to appeal.   |
| 2.2            | <p>A complaints policy must set out the circumstances in which a matter will not be considered as a complaint or escalated, and these circumstances must be fair and reasonable to residents. Acceptable exclusions include:</p> <ul style="list-style-type: none"> <li>• The issue giving rise to the complaint occurred over twelve months ago.</li> <li>• Legal proceedings have started. This is defined as details of the claim, such as the Claim Form and Particulars of Claim, having been filed at court.</li> </ul> | Yes              | Page 2 of our company's Comments & Complaints Procedure. Legal proceedings information is provided as separate documents. | Clients are advised: 'If the Complainant is dissatisfied with the decision reached by the Director, they can follow up the complaint to the additional Stage with a referral to the Housing Ombudsman. At this stage it's probably time to get a third-party involved. The Property Ombudsman is the free, independent service looking after real estate customers. Bring your complaint to them within 12 months of our final response to get their help.' |

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|     | <ul style="list-style-type: none"> <li>Matters that have previously been considered under the complaints policy.</li> </ul>  |     |  |  |
| 2.3 | Landlords must accept complaints referred to them within 12 months of the issue occurring or the resident becoming aware of the issue, unless they are excluded on other grounds. Landlords must consider whether to apply discretion to accept complaints made outside this time limit where there are good reasons to do so.   | Yes | As shown and advised as per Comments & Complaints Procedure.   | All complaints are resolved within 12 months' period of time. For exceptions: some individual legal processing cases may take longer than 12 months. |
| 2.4 | If a landlord decides not to accept a complaint, an explanation must be provided to the resident setting out the reasons why the matter is not suitable for the complaints process and the right to take that decision to the Ombudsman. If the Ombudsman does not agree that the exclusion has been fairly applied, the Ombudsman may tell the landlord to take on the complaint. | Yes | All complaints received are acknowledged with email/ letter regardless accepted or not accepted cases. Any excluded cases not accepted by Ombudsman will be reviewed and actioned accordingly. | No such scenario within the last 12 months period.   |
| 2.5 | Landlords must not take a blanket approach to excluding complaints; they must consider the individual circumstances of each complaint.   | Yes | Each case is dealt with full consideration of individual circumstances.  | 3 Norwich Road case: Client son's medical condition has been taken into consideration when complaint was received from Flat 1's tenant.              |

### Section 3: Accessibility and Awareness

| Code provision | Code requirement  | Comply: Yes / No | Evidence   | Commentary / explanation  |
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| 3.1            | Landlords must make it easy for residents to complain by providing different channels through which they can make a complaint. Landlords must consider their duties under the Equality Act 2010 and anticipate the needs and reasonable adjustments of residents who may need to access the complaints process. | Yes              | It's our company's policy to treat all clients equal regardless their gender, race, individual background etc. | Our company provide numbers of temporary accommodation for local authorities' homeless clients, Staffs are also been trained on how to deal with clients who have various/ sensitive background.  |
| 3.2            | Residents must be able to raise their complaints in any way and with any member of staff. All staff must be aware of the complaints process and be able to pass details of the complaint to the appropriate person within the landlord.   | Yes              | Details included in welcome back, complains policy and procedures are also published on company website.       | What channels can I use to raise my complaint to Ideal Quarters?<br>Complaint can be made through the below channels:<br>Email:<br>pm@idealquarters.com<br>Phone: 0208 555 1909<br>By Post or visit office in person: Office address: 598 Romford Road, London E12 5AF<br>Website:<br>www.idealquarters.com |
| 3.3            | High volumes of complaints must not be seen as a negative, as they can be indicative of a well-publicised and   | Yes              | Volumes of complaints is not used as the only and isolated measurement by Ideal Quarters                       | These are communicated during internal meetings too.  |

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|     | accessible complaints process. Low complaint volumes are potentially a sign that residents are unable to complain.   |     | Ltd, but combine with other factors: such as Satisfaction level when complain case is closed.                           |   |
| 3.4 | Landlords must make their complaint policy available in a clear and accessible format for all residents. This will detail the two stage process, what will happen at each stage, and the timeframes for responding. The policy must also be published on the landlord's website. | Yes | Information provided in welcome pack, and published on <a href="http://www.idealquarters.com">www.idealquarters.com</a> | Welcome pack can be provided on request.  |
| 3.5 | The policy must explain how the landlord will publicise details of the complaints policy, including information about the Ombudsman and this Code.   | Yes | Details on be found on Comments & Complaints Procedure.   | N/A   |
| 3.6 | Landlords must give residents the opportunity to have a representative deal with their complaint on their behalf, and to be represented or accompanied at any meeting with the landlord.   | Yes | Residents are provided with information about their rights.   | Staffs are required to request written consent from client to confirm he/she authorise xxx to be his/ her representative and act on behalf of him/her; this is to comply with GDPR too. |
| 3.7 | Landlords must provide residents with information on their right to access the Ombudsman service and how the individual can engage with the Ombudsman about their complaint.   | Yes | Same as above.  | Details are provided both in writing and verbally.  |

## Section 4: Complaint Handling Staff

| Code provision | Code requirement   | Comply: Yes / No | Evidence  | Commentary / explanation  |
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| 4.1            | Landlords must have a person or team assigned to take responsibility for complaint handling, including liaison with the Ombudsman and ensuring complaints are reported to the governing body (or equivalent). This Code will refer to that person or team as the 'complaints officer'. This role may be in addition to other duties. | Yes              | As shown on Annual Complaints Performance and Service Improvement Report  | Company complaints main officer: Mr Mostaque Ahmed.                               |
| 4.2            | The complaints officer must have access to staff at all levels to facilitate the prompt resolution of complaints. They must also have the authority and autonomy to act to resolve disputes promptly and fairly.   | Yes              | Complaints officer always have access to staff at all levels.   | Our company has a small team with a fairly flat structure. Currently a team of 6. |
| 4.3            | Landlords are expected to prioritise complaint handling and a culture of learning from complaints. All relevant staff must be suitably trained in the importance of complaint handling. It is important that complaints are seen as a core service and must be resourced to handle complaints effectively                            | Yes              | Cases are prioritised by using staffs' knowledge and experience based on combined factors, more complex cases are either dealt with senior managers/ directors. | Priorities level may change when circumstance changes during the process.         |



## Section 5: The Complaint Handling Process

| Code provision | Code requirement  | Comply: Yes / No | Evidence   | Commentary / explanation  |
|----------------|---|------------------|--|---|
| 5.1            | Landlords must have a single policy in place for dealing with complaints covered by this Code. Residents must not be treated differently if they complain.  | Yes              | One Comments & Complaints Procedure for all                    | All cases may vary from each other, but all dealt under the same policy and Code. |
| 5.2            | The early and local resolution of issues between landlords and residents is key to effective complaint handling. It is not appropriate to have extra named stages (such as 'stage 0' or 'informal complaint') as this causes unnecessary confusion.                               | Yes              | Comments & Complaints Procedure set for 2 stages of complaint. | No stage 0.   |
| 5.3            | A process with more than two stages is not acceptable under any circumstances as this will make the complaint process unduly long and delay access to the Ombudsman.  | Yes              | Same as above.   | Comments & Complaints Procedure set for 2 stages of complaint.                    |
| 5.4            | Where a landlord's complaint response is handled by a third party (e.g. a contractor or independent adjudicator) at any stage, it must form part of the two stage complaints process set out in this Code. Residents must not be expected to go through two complaints processes. | Yes              | Same as above.   | Comments & Complaints Procedure set for 2 stages of complaint.                    |

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| 5.5 | Landlords are responsible for ensuring that any third parties handle complaints in line with the Code.   | Yes |   |   |
| 5.6 | When a complaint is logged at Stage 1 or escalated to Stage 2, landlords must set out their understanding of the complaint and the outcomes the resident is seeking. The Code will refer to this as “the complaint definition”. If any aspect of the complaint is unclear, the resident must be asked for clarification.   | Yes | All complaints received are acknowledged with email/ letter regardless accepted or not accepted cases. Further information is always provided once entered stage two.   | Staffs understand the complaint definition, and able to explain to clients in plain English when unclear.   |
| 5.7 | When a complaint is acknowledged at either stage, landlords must be clear which aspects of the complaint they are, and are not, responsible for and clarify any areas where this is not clear.   | Yes | Details are provided in the above email/ letter.  | Responsibilities for all related parties are listed and clarified in email/ letter.   |
| 5.8 | At each stage of the complaints process, complaint handlers must: <ul style="list-style-type: none"> <li>a. deal with complaints on their merits, act independently, and have an open mind;</li> <li>b. give the resident a fair chance to set out their position;</li> <li>c. take measures to address any actual or perceived conflict of interest; and</li> </ul> | Yes | Staffs are trained not to jump into any conclusion without investigation & evidence, or mix with any biased personal opinion. Cases must be dealt in fair manner, and allow client to set out their position. | 20a Third Avenue case: client has a confirmed history of misreporting property issues, her complain case was still reestablished and accepted at reporting stage, allowed her to find representative, seek legal advise etc. Despite her accusation was later found out to be false |

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|      | d. consider all relevant information and evidence carefully.   |      |   | and case dismissed with council office's approval.  |
| 5.9  | Where a response to a complaint will fall outside the timescales set out in this Code, the landlord must agree with the resident suitable intervals for keeping them informed about their complaint.   | Yes. | Clients are always informed if additional time is needed and why needed, and given the choice to accept or refuse the extended timescales.            | 3 Norwich Road: Explained to Flat 1 tenant why relocation is taking longer than previous years. |
| 5.10 | Landlords must make reasonable adjustments for residents where appropriate under the Equality Act 2010. Landlords must keep a record of any reasonable adjustments agreed, as well as a record of any disabilities a resident has disclosed. Any agreed reasonable adjustments must be kept under active review. | Yes  | Records are kept on internal system and provided to relevant parties (or on request). Reviews are carried out whenever it's necessary and reasonable. | Record can be provided on request.  |
| 5.11 | Landlords must not refuse to escalate a complaint through all stages of the complaints procedure unless it has valid reasons to do so. Landlords must clearly set out these reasons, and they must comply with the provisions set out in section 2 of this Code.   | Yes  | 11 Second Avenue pest issue case. Allowed occupant to go through legal process when council office assistance is refused.                             | Occupant has withdrawn the complaint after losing the case.                                     |
| 5.12 | A full record must be kept of the complaint, and the outcomes at each stage. This must include the original complaint and the date received, all correspondence with the resident,   | Yes  | Records are kept on internal system   | Record can be provided on request.  |

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|      | correspondence with other parties, and any relevant supporting documentation such as reports or surveys.  |     |  |  |
| 5.13 | Landlords must have processes in place to ensure a complaint can be remedied at any stage of its complaints process. Landlords must ensure appropriate remedies can be provided at any stage of the complaints process without the need for escalation.                 | Yes | Meredith Street property condition complaint case. Damp survey confirmed it's condensation, turns out occupant can't afford using the electric heating and not ventilating the property to prevent cold air in. Worked with council and relocated her to a property has central heating. | Staffs are trained to identify difference between damp and condensation, how to minimise and prevent them. Also introduced more regular follow ups to ensure its under control and prevent mould growing, and communicate with occupants on their responsibilities to look after the properties. |
| 5.14 | Landlords must have policies and procedures in place for managing unacceptable behaviour from residents and/or their representatives. Landlords must be able to evidence reasons for putting any restrictions in place and must keep restrictions under regular review. | Yes | 'House/ Accommodation Rules' are included in the welcome pack.   | Company also has anti-social behaviour policy which is reviewed on yearly basis.   |
| 5.15 | Any restrictions placed on contact due to unacceptable behaviour must be proportionate and demonstrate regard for the provisions of the Equality Act 2010.  | Yes | Flat 4, Norwich Road case: Occupant was advised to email office only for any issues to be raised to us, due to he always uses abusive languages on calls. All matters are still dealt in professional manner and   | Staffs are trained not to 'take it personal' when facing unacceptable behaviour, but to follow company guidance to ensure matters are resolved   |

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|  |  |  | resolved, and council's booking office were informed with full details. | under the provisions of the Equality Act 2010. |
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## Section 6: Complaints Stages

### Stage 1

| Code provision | Code requirement  | Comply: Yes / No | Evidence  | Commentary / explanation   |
|----------------|---|------------------|---|--|
| 6.1            | Landlords must have processes in place to consider which complaints can be responded to as early as possible, and which require further investigation. Landlords must consider factors such as the complexity of the complaint and whether the resident is vulnerable or at risk. Most stage 1 complaints can be resolved promptly, and an explanation, apology or resolution provided to the resident. | Yes              | Case example: Flat 3, Norwich Road. Factored the fact occupant's son has disabilities when dealing with case. Landlord has been made aware to more patient and allow reasonable time frame to resolve the matter. | Staffs are trained to be consider all necessary/ relevant factors when dealing with cases.       |
| 6.2            | Complaints must be acknowledged, defined and logged at stage 1 of the complaints procedure <b><u>within five working days of the complaint being received.</u></b>  | Yes              | Internal record, emails and letter trails and phone records.  | Complaint received by website, emails and calls are acknowledged verbally and in writing.        |
| 6.3            | Landlords must issue a full response to stage 1 complaints <b><u>within 10 working days</u></b> of the complaint being acknowledged.  | Yes              | Stage 1 letter/ email.  | It provides details on: what actions will be taken/ already taken; Any remedies that may help to |

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|     |   |     |   | resolve the matter;<br>Timescales.  |
| 6.4 | Landlords must decide whether an extension to this timescale is needed when considering the complexity of the complaint and then inform the resident of the expected timescale for response. Any extension must be no more than 10 working days without good reason, and the reason(s) must be clearly explained to the resident. | Yes | Client will be notified in writing if extension is needed, and also provided with why extension is needed.  | Staffs normally communicate with clients on regular basis to  |
| 6.5 | When an organisation informs a resident about an extension to these timescales, they must be provided with the contact details of the Ombudsman.  | Yes | The contact details of the Ombudsman is always provided to clients at this stage.   | The contact details of the Ombudsman is also on complaint policy.   |
| 6.6 | A complaint response must be provided to the resident when the answer to the complaint is known, not when the outstanding actions required to address the issue are completed. Outstanding actions must still be tracked and actioned promptly with appropriate updates provided to the resident.                                 | Yes | Outstanding actions are tracked and actioned by using our GNB software with appropriate updates provided to the resident verbally/ in writing.  | GNB shows status of New/Pending/ completed. Staffs review the list on daily basis to ensure all completed and not missed.                       |
| 6.7 | Landlords must address all points raised in the complaint definition and provide clear reasons for any decisions, referencing the relevant policy, law and good practice where appropriate.   | Yes | All points raised are dealt point by point, although it might be dealt by different staffs at the back end due to the nature, for example accounts related will be dealt by accounts. | However, we always have a main person in charge of the case to communicate with clients to avoid confusions and unable to reach relevant staff. |
| 6.8 | Where residents raise additional complaints during the investigation,   |     | Complaint is normally logged as a separated complaint if it's new   | Staffs are trained on how to identify if a new complaint  |

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|     | these must be incorporated into the stage 1 response if they are related and the stage 1 response has not been issued. Where the stage 1 response has been issued, the new issues are unrelated to the issues already being investigated or it would unreasonably delay the response, the new issues must be logged as a new complaint.   |     | and not related to the exiting complaint, even if it's from the same client. | should be in-cooperated to the existing one.  |
| 6.9 | Landlords must confirm the following in writing to the resident at the completion of stage 1 in clear, plain language: <ul style="list-style-type: none"> <li>a. the complaint stage;</li> <li>b. the complaint definition;</li> <li>c. the decision on the complaint;</li> <li>d. the reasons for any decisions made;</li> <li>e. the details of any remedy offered to put things right;</li> <li>f. details of any outstanding actions; and</li> <li>g. details of how to escalate the matter to stage 2 if the individual is not satisfied with the response.</li> </ul> | Yes | These are standard points included in stage 1&2 letters/ emails.             | Staffs are required to add any necessary additional points which may help with the case and resolve the issue sooner. |

Stage 2

| Code provision | Code requirement | Comply: Yes / No | Evidence | Commentary / explanation |
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| 6.10 | If all or part of the complaint is not resolved to the resident's satisfaction at stage 1, it must be progressed to stage 2 of the landlord's procedure. Stage 2 is the landlord's final response.   | Yes | Clients are advised on next step of the process and provided with stage 2 information.   | Details can be found on complaint policy and stage 1&2 letters too.   |
| 6.11 | Requests for stage 2 must be acknowledged, defined and logged at stage 2 of the complaints procedure within five working days of the escalation request being received.  | Yes | Stage 2 emails/ letters.   | Details can be found on complaint policy and stage 1&2 letters too  |
| 6.12 | Residents must not be required to explain their reasons for requesting a stage 2 consideration. Landlords are expected to make reasonable efforts to understand why a resident remains unhappy as part of its stage 2 response.                                      | Yes | Staffs are trained to work out reasons for requesting a stage 2 consideration, and seek senior management / company paid professional help where needed. | In most of the cases, clients do explain their reasons for requesting a stage 2 consideration without requesting. |
| 6.13 | The person considering the complaint at stage 2 must not be the same person that considered the complaint at stage 1.  | Yes | Cases are normally pass on to senior managers or director when reached to stage 2.   | Normally dealt by property manager, branch manager or directors.  |
| 6.14 | Landlords must issue a final response to the stage 2 <b><u>within 20 working days</u></b> of the complaint being acknowledged.   | Yes | Final response to stage 2 is normally issued within 20 working days of the complaint being acknowledged.   | Clients will be provided with reasons if extension is needed.   |
| 6.15 | Landlords must decide whether an extension to this timescale is needed when considering the complexity of the complaint and then inform the resident of the expected timescale for response. Any extension must be no more than 20 working days without good reason, | Yes | Clients will be provided with reasons if extension is needed. Client will be communicated before hand before extension is confirmed.                     | Staffs  |



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|      | and the reason(s) must be clearly explained to the resident.  |     |   |   |
| 6.16 | When an organisation informs a resident about an extension to these timescales, they must be provided with the contact details of the Ombudsman.  | Yes | The contact details of the Ombudsman is always provided to clients at this stage.   | The contact details of the Ombudsman is also on complaint policy.   |
| 6.17 | A complaint response must be provided to the resident when the answer to the complaint is known, not when the outstanding actions required to address the issue are completed. Outstanding actions must still be tracked and actioned promptly with appropriate updates provided to the resident.   | Yes | Outstanding actions are tracked and actioned by using our GNB software with appropriate updates provided to the resident verbally/ in writing.  | GNB shows status of New/Pending/ completed. Staffs review the list on daily basis to ensure all completed and not missed.                         |
| 6.18 | Landlords must address all points raised in the complaint definition and provide clear reasons for any decisions, referencing the relevant policy, law and good practice where appropriate.   | Yes | All points raised are dealt point by point, although it might be dealt by different staffs at the back end due to the nature, for example accounts related will be dealt by accounts. | However, we always have a main person in charge of the case to communicate with clients to avoid confusions and unable to reach relevant staff.   |
| 6.19 | Landlords must confirm the following in writing to the resident at the completion of stage 2 in clear, plain language:<br>a. the complaint stage;<br>b. the complaint definition;<br>c. the decision on the complaint;<br>d. the reasons for any decisions made;<br>e. the details of any remedy offered to put things right;<br>f. details of any outstanding actions; and | Yes | Staffs are required to provide the list of information in writing to client.  | Staffs are required to add any necessary additional points (based on individual cases) which may help with the case and resolve the issue sooner. |

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|      | g. details of how to escalate the matter to the Ombudsman Service if the individual remains dissatisfied.             |     |   |  |
| 6.20 | Stage 2 is the landlord's final response and must involve all suitable staff members needed to issue such a response. | Yes | 20a Third Avenue case, involved all suitable staff members and who has been indirect contact with landlord's contractors. | Final response are always involve all suitable staff members needed. |

### Section 7: Putting things right

| Code provision | Code requirement  | Comply: Yes / No | Evidence   | Commentary / explanation   |
|----------------|---|------------------|--|--|
| 7.1            | <p>Where something has gone wrong a landlord must acknowledge this and set out the actions it has already taken, or intends to take, to put things right. These can include:</p> <ul style="list-style-type: none"> <li>• Apologising;</li> <li>• Acknowledging where things have gone wrong;</li> <li>• Providing an explanation, assistance or reasons;</li> <li>• Taking action if there has been delay;</li> <li>• Reconsidering or changing a decision;</li> <li>• Amending a record or adding a correction or addendum;</li> <li>• Providing a financial remedy;</li> </ul> | Yes              | Flat 4, Norwich Road, offered financial remedy, client accepted. | Staffs are trained to actions taken/ to be taken and try their best to put things right. |

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|     | <ul style="list-style-type: none"> <li>Changing policies, procedures or practices.</li> </ul>   |     |   |   |
| 7.2 | Any remedy offered must reflect the impact on the resident as a result of any fault identified.   | Yes | Flat 4, Norwich Road. Reviewed occupancy check procedure, and added regular void period inspections.  | Staffs are advised to work in pairs for some of the occupancy checks and void period inspections.       |
| 7.3 | The remedy offer must clearly set out what will happen and by when, in agreement with the resident where appropriate. Any remedy proposed must be followed through to completion. | Yes | Beam Avenue case, relocation requested to council and occupants relocated.  | Staffs are trained to reach for help to third party where needed.                                       |
| 7.4 | Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate remedies.  | Yes | Flat 4, Norwich Road. Client not been offered financial remedy, but also been provided on rights he can exercise and means to contact Ombudsman to seek advise/ help. | Staffs are trained to take account of the Ombudsman Guidance and seek professional advise where needed. |

## Section 8: Self-assessment, reporting and compliance

| Code provision | Code requirement   | Comply: Yes / No | Evidence  | Commentary / explanation              |
|----------------|--|------------------|---|---------------------------------------|
| 8.1            | <p>Landlords must produce an annual complaints performance and service improvement report for scrutiny and challenge, which must include:</p> <ul style="list-style-type: none"> <li>a. the annual self-assessment against this Code to ensure their complaint handling policy remains in line with its requirements.</li> <li>b. a qualitative and quantitative analysis of the landlord's complaint handling performance. This must also include a summary of the types of complaints the landlord has refused to accept;</li> <li>c. any findings of non-compliance with this Code by the Ombudsman;</li> <li>d. the service improvements made as a result of the learning from complaints;</li> <li>e. any annual report about the landlord's performance from the Ombudsman; and</li> <li>f. any other relevant reports or publications produced by the Ombudsman in relation to the work of the landlord.</li> </ul> | Yes              | <p>An annual complaints performance and service improvement report was provided to Housing Ombudsman.</p> | <p>Next one is due by April 2025.</p> |

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| 8.2 | The annual complaints performance and service improvement report must be reported to the landlord's governing body (or equivalent) and published on the on the section of its website relating to complaints. The governing body's response to the report must be published alongside this.                       | Yes | All documents provided to Housing Ombudsman and published on company website.  | Company website:<br>www.idealquarters.com  |
| 8.3 | Landlords must also carry out a self-assessment following a significant restructure, merger and/or change in procedures.  | Yes | Self-assessment carried out when team structure changed in 2023 when senior property manager role is removed from the company. | Staffs can reach branch manager and company director for help.   |
| 8.4 | Landlords may be asked to review and update the self-assessment following an Ombudsman investigation.   | No  | No Ombudsman investigation for the last 12 months' reporting period or this current period.                                    | Company  |
| 8.5 | If a landlord is unable to comply with the Code due to exceptional circumstances, such as a cyber incident, they must inform the Ombudsman, provide information to residents who may be affected, and publish this on their website Landlords must provide a timescale for returning to compliance with the Code. | No  | No cyber incident happened so far since start of current business/operation since 2003.  | We have external in-<br>dependent IT support to<br>maintain company IT system<br>and prevent Cyber incident. |

## Section 9: Scrutiny & oversight: continuous learning and improvement

| Code provision | Code requirement   | Comply: Yes / No | Evidence  | Commentary / explanation  |
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| 9.1            | Landlords must look beyond the circumstances of the individual complaint and consider whether service improvements can be made as a result of any learning from the complaint.   | Yes              | Sparks Close- Look beyond the circumstances and ensure staffs are aware other independent parties such as block management company's action is also vital for part of the process, staffs should find ways to work with them together to resolve the issues, not presume it can not be undern company's direct control. | Staffs can also raise their complaint to relevant party when they are not fulfil their duty of care and their job roles.        |
| 9.2            | A positive complaint handling culture is integral to the effectiveness with which landlords resolve disputes. Landlords must use complaints as a source of intelligence to identify issues and introduce positive changes in service delivery.       | Yes              | Staffs are trained not to treat the complaint as 'negative energy' to the business  | Staffs understand complaints as a source of intelligence to identify issues and introduce positive changes in service delivery. |
| 9.3            | Accountability and transparency are also integral to a positive complaint handling culture. Landlords must report back on wider learning and improvements from complaints to stakeholders, such as residents' panels, staff and relevant committees. | Yes              | Example: Regal House case, full information and inventory report provided to council booking/ booking termination office.   | Staffs are trained to maintain accountability and transparency.   |
| 9.4            | Landlords must appoint a suitably senior lead person as accountable for  | Yes              | Branch manager and company Director.  | Company Director Mr Ahmed   |

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|     | their complaint handling. This person must assess any themes or trends to identify potential systemic issues, serious risks, or policies and procedures that require revision.   |     |  |  |
| 9.5 | In addition to this a member of the governing body (or equivalent) must be appointed to have lead responsibility for complaints to support a positive complaint handling culture. This person is referred to as the Member Responsible for Complaints ('the MRC').                               | Yes | Company director   | Company director Mr Ahmed  |
| 9.6 | The MRC will be responsible for ensuring the governing body receives regular information on complaints that provides insight on the landlord's complaint handling performance. This person must have access to suitable information and staff to perform this role and report on their findings. | Yes | Company has small team and flat management structure, MRC always has access to all suitable information and staffs related to the cases. | Company structure can be provided  |
| 9.7 | As a minimum, the MRC and the governing body (or equivalent) must receive:<br>a. regular updates on the volume, categories and outcomes of complaints, alongside complaint handling performance;<br>b. regular reviews of issues and trends arising from complaint handling;                     | Yes | There are regular communication and meetings are held within the team to keep informed.  | Details are also logged on internal system GNB, which MRC has full access. |

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|     | <p>c. regular updates on the outcomes of the Ombudsman's investigations and progress made in complying with orders related to severe maladministration findings; and</p> <p>d. annual complaints performance and service improvement report.</p>  |     |   |  |
| 9.8 | <p>Landlords must have a standard objective in relation to complaint handling for all relevant employees or third parties that reflects the need to:</p> <p>a. have a collaborative and co-operative approach towards resolving complaints, working with colleagues across teams and departments;</p> <p>b. take collective responsibility for any shortfalls identified through complaints, rather than blaming others; and</p> <p>c. act within the professional standards for engaging with complaints as set by any relevant professional body.</p> | Yes | <p>Company has guidance on how complaint should be handled, company also have paid service such as NRLA to get advise on specific case/ circumstance.</p> | <p>MRC and senior manager are available for support too.</p> |